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ABSTRACT

The Change Facilitator Stages of Concern Questionnaire (CFSoCQ) as a procedure for studying the concerns of change facilitators is presented. It is based on the work of Francis Fuller, the concept of Stages of Concern, and the Concerns Based Adoption Model which deal with change facilitators' concerns regarding implementation of an innovative program. Defining the CFSoCQ required a combination of innovation-related items and change facilitator role-related items. Analyses of descriptive concerns data identified a set of seven Change Facilitator Stages of Concern. In 1979, a questionnaire was developed to measure these concerns. Pilot studies were conducted with factor analyses and item analyses selecting five items for each stage resulting in a measure that has independent scales and high internal reliability. The CFSoCQ provides a means for measuring the concerns of leaders which have a significant influence on their leadership behavior and in turn makes it possible to study the influence of those concerns on facilitator behavior. Briefly, a relatively high score indicates intense concerns on that stage; low scores indicate low intensity or absence of concern. An interpretation procedures manual is under development. (PN)

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AN INSTRUMENT FOR MEASURING CONCERNS CHANGE FACILITATORS HAVE ABOUT THEIR ROLE IN FACILITATING CHANGE

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AN INSTRUMENT FOR MEASURING THE CONCERNS CHANGE FACILITATORS HAVE ABOUT THEIR ROLE IN FACILITATING CHANGE[1,2,3]

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The concept of Stages of Concern has been extensively studied and applied with users and nonusers of educational, administrative and organizational innovations. This work has been based on the pioneering research of Frances Fuller who studied the concerns of preservice teachers. In recent years various practitioners, policy makers, and researchers have suggested that administrators, staff developers and other change facilitators also have concerns about implementation.

Since 1979, development of a conceptual framework and measurement procedure(s) for studying the concerns of change facilitators has been a major priority for staff of the Concerns-Based Adoption Model (CBAM) project at the Texas R&D Center. At this time descriptions for seven Stages of Concern about

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[1]Paper presented at the annual meeting of the American Educational Research Association, New York, March, 1982.

[2]The research described herein was conducted under contract with the National Institute of Education. The opinions expressed are those of the authors and do not necessarily reflect the position or policy of the National Institute of Education. No endorsement by the National Institute of Education should be inferred.

[3]The authors wish to acknowledge the contributions and participation of their co-workers in this study: Teresa Griffin, Nova Washington, Beulah Newlove, Marcia Goldstein, Leslie Huling, Sue Loucks, Terry Needham, Shirley Hord, and Suzie Stiegelbauer. We also wish to acknowledge the valuable assistance that has been so willingly given by the principals and teachers who participated in the studies.

ones role as a change facilitator have been identified. Further a specially designed questionnaire, the Change Facilitator Stages of Concern Questionnaire (CFSoCQ) has been developed and used in several studies. The CFSoCQ is also being used in training situations.

In this paper the steps that were undertaken to identify and define the Change Facilitator Stages of Concern and to develop the CFSoCQ are described. The CFSoCQ is then described along with a review of its psychometric properties and interpretation procedures. The paper concludes with an exploration of possible applications and implications of this work.

Background Concerns Theory and Research

The concept of concerns was initially organized and applied to education by the late Frances Fuller (1969). Based on clinical experiences, field studies and the literature Fuller theorized that the concerns of preservice and inservice teachers changed as their amount of experience with teaching increased. In general she proposed that teachers concerns about teaching move through four levels.

At first preservice teachers are not concerned about teaching, their concerns are on other matters and therefore "unrelated" to teaching. Teachers' earliest teaching related concerns are "self" focused. Their concerns have to do with their own adequacies as a teacher and survival in the teaching situation. Later on their concerns shift to dealing with the "task" of teaching. Time, logistics and coordination are of intense concern. With experience Fuller proposed that teachers' concerns shift to being "impact" oriented. Teachers become more concerned with professional issues and how they can improve themselves as teachers. They also have increased concerns about the effects of their teaching in terms of student outcomes.

During the 1960's and 70's extensive research was done by Fuller and others in testing the teacher concerns theory. Various measures were developed (Fuller & Case, 1972; Case, 1974; Borich & Fuller, 1974; George, 1978) and the ideas were tested in a number of settings with both preservice and inservice teachers (Fuller, 1970; Fuller, Parsons & Watkins, 1973; Fuller & Bown, 1975). In general the four kinds of concerns persisted although there was some variation in how the different levels subdivided and some question about the extent to which they adhere to a developmental progression related solely to increasing experience. The concerns theory in general does appear to account for some of the affective phenomena that are repeatedly observed in teachers across their professional careers and has had extensive application in teacher education.

Stages of Concern About an Innovation

In the early 1970's the concerns theory was applied to a different context when it was proposed in the Concerns-Based Adoption Model (CBAM) (Hall, Wallace, & Dossett, 1973) that teachers, college faculty and other front-line innovation users and nonusers had concerns about an innovation. The CBAM model developers proposed that innovation related concerns were very similar to what Fuller had found for teachers concerns about teaching. In the CBAM model it was proposed that users and nonusers of innovations had identifiable Stages of Concern about the innovation.

It was hypothesized that the Stages of Concern (SoC) progressed in the same way that Fuller had found, from unrelated, to self, to task, and finally to impact concerns, only instead of dealing with the whole of teaching the Stages of Concern could be associated with a particular program or process that was to be or had been adopted. The stages are the same for different innovations, but for each innovation it appeared that there was a new cycle of

development through the stages. Seven different Stages of Concern About an Innovation were identified and verified through subsequent measurement development and research activities. The Stages of Concern about the innovation definitions are presented in Figure 1.

Three different techniques were developed and tested for assessing Stages of Concern. A "one legged interview" (Concerns-Based Consulting Skills Workshop, 1977) was found to be very useful for practicing change facilitators as they were conferencing with various clients. An open-ended Concerns Statement (Newlove & Hall, 1976) was developed to be used for assessing concerns prior to and after key interventions, such as workshops. However, neither the one-legged conference nor the open-ended concerns statement were sufficiently reliable and valid to be used for systematic evaluation and research studies. The Stages of Concern Questionnaire (Hall, George & Rutherford, 1979) was developed for this last purpose.

The Stages of Concern Questionnaire (SoCQ) consists of thirty-five items that are marked by the respondent using a seven point Likert scale. The scale continuum ranges from "irrelevant" to "very true of me now." There are five items for each of the seven stages/scales and percentile norms have been established for each scale. The scale scores can be interpreted individually or the composite "profile" can be interpreted for individuals and aggregated for group interpretations.

The Stages of Concern Questionnaire was first used in a two year study of teachers in relation to the innovation of team teaching (Hall & Rutherford, 1976) and a parallel two year study of college teacher education faculty with regard to the innovation of instructional modules (Hall, 1976). The SoCQ has had extensive use since that time in research (James & Hall, 1981) and staff development (Hall & Loucks, 1978; Loucks & Pratt, 1979) settings.

Figure 1

Definitions:

STAGES OF CONCERN ABOUT THE INNOVATION*

6 REFOCUSING: The focus is on exploration of more universal benefits from the innovation, including the possibility of major changes or replacement with a more powerful alternative. Individual has definite ideas about alternatives to the proposed or existing form of the innovation.

5 COLLABORATION: The focus is on coordination and cooperation with others regarding use of the innovation.

4 CONSEQUENCE: Attention focuses on impact of the innovation on students in his/her immediate sphere of influence. The focus is on relevance of the innovation for students, evaluation of student outcomes, including performance and competencies, and changes needed to increase student outcomes.

3 MANAGEMENT: Attention is focused on the processes and tasks of using the innovation and the best use of information and resources. Issues related to efficiency, organizing, managing, scheduling, and time demands are utmost.

2 PERSONAL: Individual is uncertain about the demands of the innovation, his/her inadequacy to meet those demands, and his/her role with the innovation. This includes analysis of his/her role in relation to the reward structure of the organization, decision-making and consideration of potential conflicts with existing structures or personal commitment. Financial or status implications of the program for self and colleagues may also be reflected.

1 INFORMATIONAL: A general awareness of the innovation and interest in learning more detail about it is indicated. The person seems to be unworried about himself/herself in relation to the innovation. She/he is interested in substantive aspects of the innovation in a selfless manner such as general characteristics, effects, and requirements for use.

0 AWARENESS: Little concern about or involvement with the innovation is indicated.

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*Original concept from Hall, G. E., Wallace, R. C., Jr., & Dossett, W. A. A developmental conceptualization of the adoption process within educational institutions. Austin: Research & Development Center for Teacher Education, The University of Texas, 1973.

Measurement described in Hall, G. E., George, A. A., & Rutherford, W. L. Measuring stages of concern about the innovation: A manual for use of the SoC Questionnaire. Austin: Research & Development Center for Teacher Education, The University of Texas, 1977.

Change Facilitator Stages of Concern

The SoC Questionnaire proved to be very satisfactory when used to measure the concerns of teacher, but did not work as well when completed by administrators, staff developers and others who were responsible for facilitating front-line use of the innovation. Change facilitators who completed the SoC Questionnaire indicated that many items were not appropriate because they were phrased for users of the innovation. Also the norms were problematic with most change facilitators scoring exceptionally high on Stage 5 Collaboration, which would be expected.

In the above described research studies of school change, the project staff also collected anecdotal data about the concerns of principals and staff developers as well as their feedback on the Stages of Concern Questionnaire. These notes and the field experiences lead to the hypothesis that change facilitators have concerns, in relation to their role, that are not unlike the Stages of Concern of innovation users. Work then began on development of stage definitions that could be used to describe and ultimately assess the role specific concerns of change facilitators.

Defining the Change Facilitator Stages of Concern (CFSoC) meant that there needed to be some combination of innovation related items and change facilitator role related items. Extensive descriptive data about the concerns of change facilitators were collected from administrators, staff developers, curriculum coordinators and others. One particularly valuable source of change facilitator concerns descriptions was the CBAM cadre. The CBAM cadre is a nationally representative group of highly skilled change facilitators who have received extensive training in CBAM concepts, research and applications. The twenty-five CBAM cadre members are approved to conduct training sessions on the Stages of Concern and to work with evaluation and research applications

of the concerns model. Thus the CBAM cadre provided an impact concern perspective in relation to the role of change facilitators. They were also a strong source of descriptions of concerns of other change facilitators that they had as clients.

The outcome of these analyses of descriptive concerns data was the identification of a set of seven Change Facilitator Stages of Concern. The definitions of the Change Facilitator Stages of Concern (CFSoC) that were ultimately developed are presented in Figure 2. The stages represent a balance between innovation related concerns and change facilitator role concerns. Although all stages include both dimensions Stages 1 Information, and 6 Refocusing deal more directly with aspects of the innovation. Stages 2 Personal, 3 Management, 4 Consequence and 5 Collaboration deal more directly with the change facilitator role. Stage 0 Awareness addresses the unrelated concerns of change facilitators as it does in the user/nonuser SoC.

The same stage names were kept for the CFSoC as had been used in the earlier SoC scale definitions. This was done in order to reflect that the concerns dynamic appears to be the same for both change facilitators and innovation users/nonusers. The only differences appear to be role related. Otherwise it appears that there is the same set of unrelated, self, task and impact concerns that have been observed previously. This does not mean necessarily that a change facilitator's overall "style" (Hall, Rutherford & Griffin, 1982) is developed in the same way, just that concerns about facilitating implementation of particular innovations appears to have the same concerns dynamic.

Development of the CFSoCQ

In May 1979, plans were made to build a concerns questionnaire specifically designed to measure the concerns of change facilitators. The

Figure 2

Definitions:

Change Facilitator Stages of Concern

6 REFOCUSING: Ideas about alternatives to the innovation are a focus. Thoughts and opinions oriented toward increasing benefits to clients are based on substantive questions about the maximum effectiveness of the present innovative thrust. Thought is being given to alternative forms or possible replacement of the innovation.

5 COLLABORATION: Coordinating with other change facilitators and/or administrators to increase one's capacity in facilitating use of the innovation is the focus. Increased coordination and communication for increased effectiveness of the innovation are the focus. Issues related to involving other leaders in support of and facilitating use of the innovation for increased impact are indicated.

4 CONSEQUENCE: Attention is on improving one's own style of change facilitation and increasing positive innovation effects. Increasing the effectiveness of users and analyzing the effects on clients are the foci. Expanding his/her facility and style for facilitating change is also the focus.

3 MANAGEMENT: The time, logistics, available resources and energy involved in facilitating others in use of the innovation are the focus. Attention is on the "how to do its" of change facilitation and decreasing the difficulty of managing the change process.

2 PERSONAL: Uncertainty about one's ability and role in facilitating use of the innovation is indicated. Doubts about one's adequacy in being able to be an effective change facilitator and questions about institutional support and rewards for doing the job are included. Lack of confidence in oneself or in the support to be received from superiors, nonusers and users are a part of this stage.

1 INFORMATIONAL: There is interest in learning more about the innovation. The concern is not self-oriented or necessarily change facilitation oriented. The focus is on the need/desire to know more about the innovation in general, its characteristics, effects and requirements for use.

0 AWARENESS: Change facilitation in relation to the innovation is not an area of intense concern. The person's attention is focused elsewhere.

questionnaire was to be designed to be applicable to different innovations and with change facilitators in different organizational roles (e.g., principal, staff developer and teacher educator). The first draft of this measure was essentially a re-write of the items on the SoC Questionnaire so that the items were relvant to change facilitators, an open-ended form of the questionnaire was also drawn up, which simply asked the respondent to list his or her concerns about facilitating the use of the innovation. In June 1979, a small set of pilot data was collected in each of three sites, Texas (N=18), Florida (N=23), and California (N=10). Each respondent completed both the pilot CFSoCQ and also the open-ended questionnaire.

The results of this pilot indicated that a more thorough revision was needed, the concerns of change facilitators were substantially different than the concerns of teachers, so much so that a simple rewording of items was not sufficient to measure their concerns about an innovation. A revised set of definitions for the stages that change facilitators experienced while working with the innovation was drawn up, and additional items for the revised instrument were selected from the earlier 195 item pilot SoC Questionnaire.

In July 1979, a set of 45 open-ended and CFSoCQ responses were obtained at a training workshop in Colorado. With the results of this pilot, and because of extensive discussions with change facilitators a third version of the definitions for the stages was drawn up, and the items on the questionnaire were further revised. Throughout this process the focus of the questionnaire items was increasingly placed on the facilitation of other's use of the innovation, rather than upon its use, per se. Also, the stages that measured the change facilitators concerns about impact increasingly focused on the impact of the facilitators efforts and concerns about revising the

facilitation process rather than focusing on impact of ones use of the innovation.

Pilot data were collected at change facilitation workshops in August, 1979, in Texas (N=29) and New Mexico (N=23). Item analyses indicated that the internal reliability of the scales was good (alphas greater than .65 on all scales), but stages 1 and 2 (Information and Personal concerns) were too highly intercorrelated. This led to further examination of the CFSoC definitions and a new set of items for Stages 0, 1, 2 and 3.

In May, 1980, a sample of 219 CFSoC Questionnaires was collected by sending the measure to all change facilitators who had participated in Concerns-Based Consulting SKills Workshops in 1979 and 1980. Analyses of these responses indicated good reliability and scale intercorrelations for all but Stage 6, Refocusing. After careful analysis of the concept Stage 6 represents, several new Stage 6 items were written and incorporated into the CFSoCQ.

During the summer and fall, 1980, a set of 288 CFSoC questionnaires were collected from a variety of workshops and mailings to change facilitators. With these data, factor analyses and other item analyses were used to select the five items for each stage on the final questionnaire. Percentile norms were complied for each scale using the same set of 288. These norms were used on a temporary basis until a sufficiently large sample of 35-item questionnaires could be collected for a more definitive normative sample.

Reliability and Validity of the CFSoCQ

During 1981, a total of 589 35-item CFSoC questionnaires were collected. The means, standard deviations, and alpha coefficients for each of the 5-item scales are shown in Table 1.

Table 1

Means, Standard Deviations and Alpha Coefficients for the CFSOCQ
Based on 589 Respondents

Stage:	0	1	2	3	4	5	6
Means:	11.99	16.91	13.04	17.90	25.88	25.86	9.07
SDS:	5.94	9.49	6.32	7.30	6.34	6.99	6.52
Alphas:	.61	.85	.62	.72	.70	.77	.81

These statistics indicate that the scales have adequate internal consistency reliability, and Table 2 shows the intercorrelations are, for the most part, very low. Low intercorrelations indicate that the scales are measuring different concepts (Table 2). Only scales 4 and 5 correlate more than .40, and there is some indication that in the sample there was frequent congruence of concerns about the impact of ones facilitation on users and concerns about collaborating in the facilitation process. That is, persons who had one of these Stages of Concern frequently also had the other.

In summary, the many revisions and extensive item reviews seem to have paid off in a measure that has independent scales and high internal reliability. In addition the scale stage definitions were developed from field realities and are seen as meaningful by practicing change facilitators.

Use of CfSoCQ Data in Statistical and Other Analyses

Scores on the CFSoCQ can be reported using either raw scale scores or percentile scores. When looking at the individual, it is usually most helpful to have the percentile scores. Plotting these on a graph profile frequently aids in their interpretation. This type of analysis is clincial in nature, and careful training is requred to interpret the profiles correctly. When doing studies of groups, percentile scores can be used as long as it is kept in mind that individual differences will be marked to some degree. It is often appropriate to use only the raw scale scores, especially if comparisons are being made between groups. Inferential statistics, such as t-tests and analysis of variance, are appropriate only when using raw scale scores. It is sometimes appropriate to average the raw scale scores for a group and then convert these to percentile scores in order to look at the profile as a group

Table 2

Intercorrelations of the Scale Scores on the CFSoCQ
Based on 589 Respondents

Scale:	0	1	2	3	4	5	6
0		.15	.19	.23	-.15	-.21	.22
1			.24	.09	.23	.18	.05
2				.37	.19	.05	.34
3					.32	.20	.09
4						.67	-.06
5							-.15

of users. As a general rule, the analysis guideline is, use the raw scores when doing inferential statistics and use the percentile when doing clinical interpretations at the individual levels.

Interpretation of CFSoCQ Data

Interpretation procedures for the CFSoCQ are reasonably straight forward. The interpretation procedures are basically the same as were developed for the earlier SoC Questionnaire. The same basic procedure is used for individual or group data, keeping in mind of course, that individual differences will be masked in data for a heterogeneous group.

Interpretation of CFSoCQ data begins with an examination of the relatively high and low percentile scale scores. A higher percentile scale score indicates, relatively speaking, more intense concerns on that stage. The CF Stages of Concern definitions presented in Figure 2 summarize the kinds of concerns that are being reflected in each respective high scale score.

For example, a 90th percentile score on Stage 1 would indicate a change facilitator who is intensely concerned about having more information about the innovation. A percentile score of 10 on that scale would be indicative that the respondent is not concerned about having information about the innovation.

The one exception to the general approach to interpretation is for Stage 0 Awareness. A relatively high score on Stage 0 indicates that the respondent(s) is concerned about other things than the identified innovation. A low Stage 0 score suggests that the respondent does not see other innovations or tasks of being a higher priority. To identify their innovation related concerns, attention should be on interpretation of Stages 1-6.

With the above noted exception for Stage 0, interpretation of each of the seven scales is done in the same way. A relatively high score indicates more aroused or intense concerns on that stage. Relatively low scores indicate low

intensity or absence of concerns on that stage. High scores on more than one scale are interpreted by combining the definitions of the stages that are represented. In this way the full "profile" of concerns across all seven stages can be interpreted.

Two examples of profile interpretations are as follows:

Figure 3 is a profile that indicates intense concerns on Stage 1 Informational and Stage 2 Personal. The respondent is indicating a need to know more about the innovation (high Stage 1) and that he has Personal concerns (high Stage 2) about his role as a change facilitator for this innovation. He is concerned about how what he does will be judged, whether he knows enough to do it and what the innovation is about.

The low scores on the impact concern stages of 4, 5, and 6 suggest that the respondent was not concerned at the time about increasing his skill and effectiveness as a change facilitator (low Stage 4), collaborating or coordinating with other facilitators (Stage 5) or thinking of an alternate innovation that would be more effective (low Stage 6).

Figure 4 is that of a change facilitator with very intense impact concerns. The person is concerned about increasing his own skills (Stage 4), working with other facilitators (Stage 5) and considering other, perhaps more effective, innovations (Stage 6). There is also some suggestion that he would like some more information about the innovation (Stage 1). In general this person appears to be feeling comfortable and confident about his role (low Stage 2) and intensely concerned about increasing his effectiveness and impact (Stages 4, 5, and 6).

An even more detailed analysis of individual CFSoCQ data is possible by combining scale and profile interpretations with individual item analyses. Frequently respondents will mark one item inconsistently when compared with

Figure 3

Individual Change Facilitator Profile

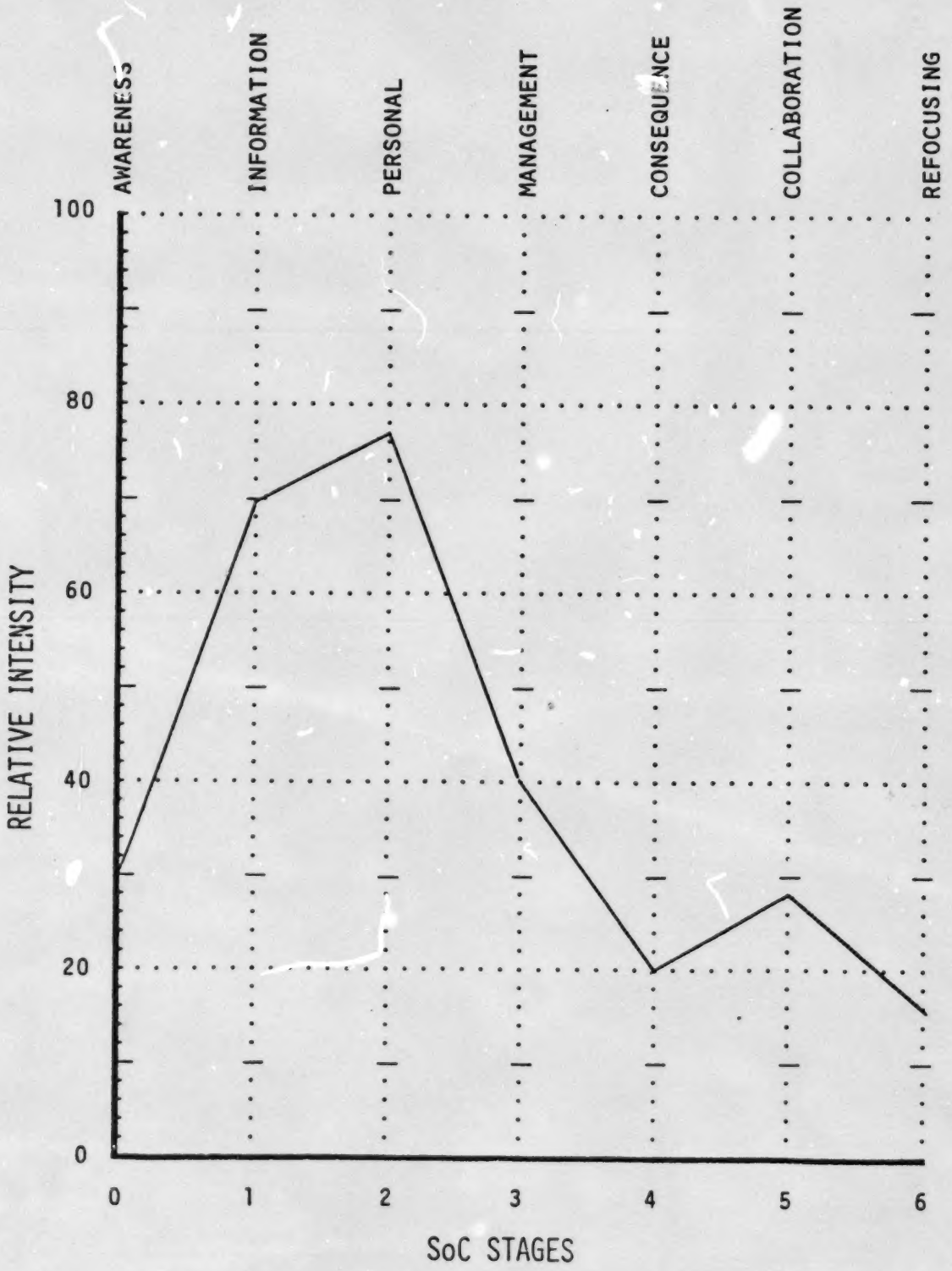
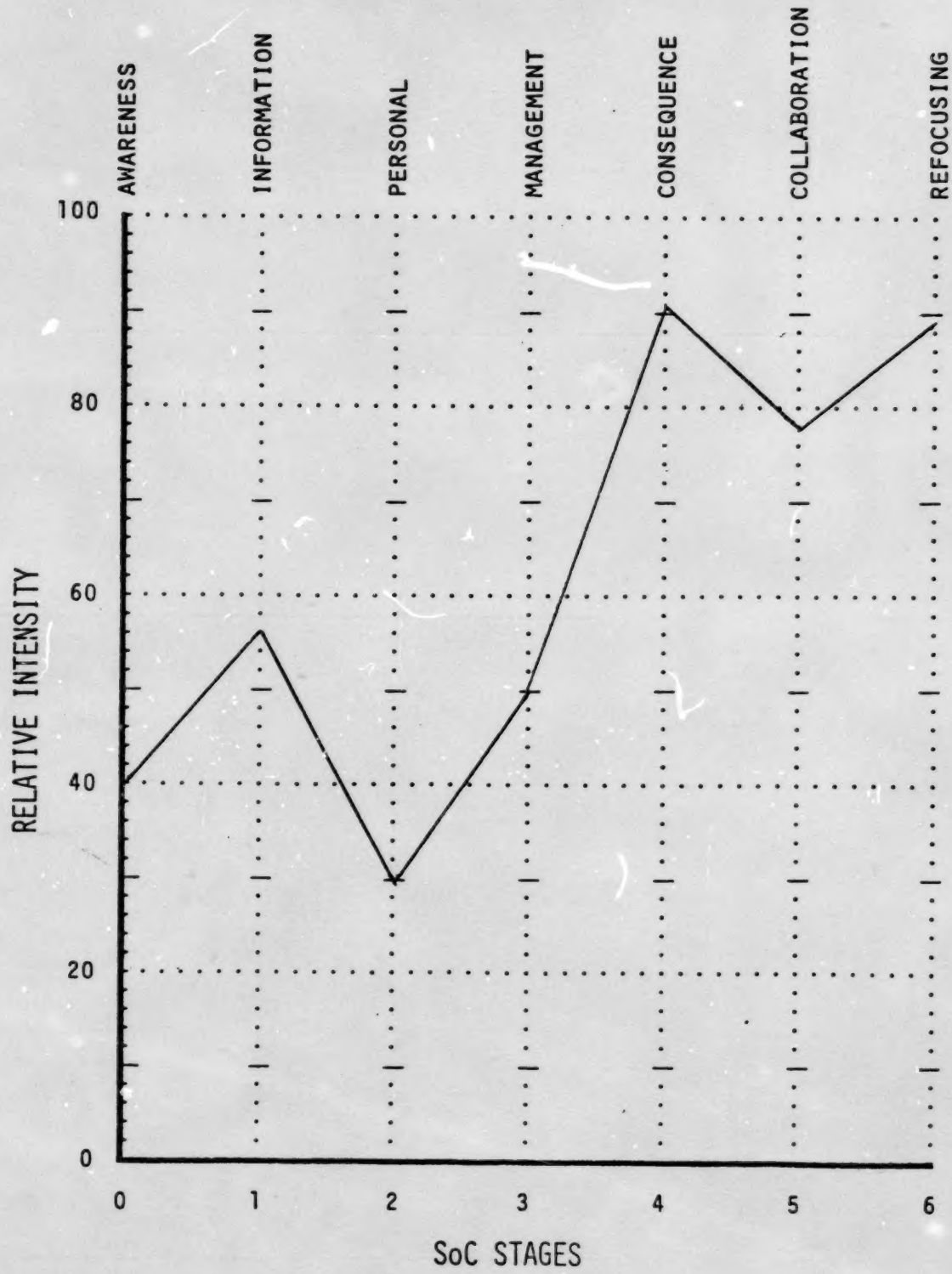


Figure 4

Individual Change Facilitator Profile



how they rated the other four items on a particular scale. This may indicate some unique aspect of that respondent's concerns that might otherwise be missed when only the total scale score and profile interpretation procedure are used.

This description of how to interpret CFSoCQ data is only a brief illustration of how the CFSoCQ and the analysis procedures work. Full description of the various individual and group interpretation procedures are available in the CFSoCQ users manual that is presently under development.

Discussion

At this point a set of Change Facilitator Stages of Concern have been identified and a questionnaire has been developed. The Stages of Concern definitions were grounded in the experiences of practicing change facilitators with different roles and the field notes of research staff. The work is also based on the earlier work of Francis Fuller and the work on identifying and assessing Stages of Concern of front-line innovation users and nonusers.

The Questionnaire

The CFSoC Questionnaire has sound psychometric properties and is presently being used in a series of studies and training applications. The results from these experiences will be applied to finalize the norms and interpretation guidelines. With these additional pieces of information the users manual for the CFSoCQ will be completed and made available to researchers, evaluators and practitioners who are interested in systematically assessing CFSoC.

Training

One interesting aspect of this work is in exploring implications for training of change facilitators. If the concerns theory holds up with this role group, then different kinds of training will be relevant and useful for change facilitators with different concerns. For example, rather than having all principals receive the same training at the same time and in the same way about an innovation or facilitating its implementation, it might be more effective to design and pace the delivery of change facilitators training in accordance with their concerns. In this way, principals for example, would not receive direct training in leadership skills until they had resolved their Stage 1 Informational concerns about the innovation and perhaps have many of their Stage 2 Personal concerns resolved as well. Initial training for this group would focus on further description of the innovation and clarification of their role relative to its use.

Next Steps

In the upcoming months additional analyses of the PTI data will identify the relationships between our study principal's CF Style and their CFSoCQ profiles. Our initial impression is that there are some relationships but that it is not a direct simple correlation link between ones overall CF style and ones concerns at a particular point in time relative to facilitating implementation of a particular innovation. Development of staff development programs for principals that accommodate concerns and styles is underway at the Texas R&D Center.

Further Research

The CFSoCQ is now ready for initial use by CBAM project staff, the CBAM cadre and others who are interested in formally assessing the Stages of

Concern of various change facilitators. The measure is not tied to one particular type of innovation and it is not tied to any particular formal role group such as principal or staff developer. The CFSoCQ assess the Stages of Concern relative to whatever process or product innovation that has been identified on the cover sheet of the questionnaire.

In developing the norms an effort has been made to use stratified samples in terms of kinds of innovations, formal role, elementary, secondary and higher education and amount of experience with the specific innovations. At this point we welcome the inquiries of others and will be most interested in seeing how the measure holds up with wider application and testing.

Concluding Remarks

In this paper we have deliberately distinguished between the concerns that change facilitators have about their role in facilitating change and their actual behaviors as a change facilitator. The capability of accurately and reliably assessing concerns about one's role opens up an important new dimension for investigating and understanding the work of change facilitators and leaders in general.

Throughout the history of research on leadership, attention has tended to focus on the personality traits or the behaviors of leaders (Jago, 1981). To be sure, behaviors are a critical variable to be studied and in another part of our Principal-Teacher Interaction study we have been examining the specific behaviors of principals as change facilitators (Hord & Hall, 1982) and their generalized style (Hall, Rutherford & Griffin, 1982). However, to fully understand the behavior of leader's as they guide change one must understand the reasons for that behavior. It seems that the concerns of leaders have a significant influence on their leadership behavior. Thus, the CFSoCQ is a significant accomplishment for it is the first instrument that provides a

means for measuring those concerns and in turn, makes it possible to study the influence of those concerns on facilitator behavior. When information about behaviors is coupled with some understanding of why those behaviors exist it is then possible to design training programs and render assistance that will help individuals become more effective as change facilitators.

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